

11/20/01  
JC063 U.S. PTO

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PTO/SB/05 (11-00)  
Approved for use through 10/31/2002. OMB 0651-0032  
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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<b>UTILITY PATENT APPLICATION TRANSMITTAL</b> <small>(Only for new nonprovisional applications under 37 CFR 1.53(b))</small>	Attorney Docket No.	GS 150
	First Inventor	Fwu-Iuan Hshieh et al.
	Title	TRENCH MOSFET DEVICE WITH POLYCRYSTALLINE
	Express Mail Label No.	ET477939705US

<b>APPLICATION ELEMENTS</b> <small>See MPEP chapter 600 concerning utility patent application contents.</small>	<b>ADDRESS TO:</b> Assistant Commissioner for Patents Box Patent Application Washington, D.C. 20231
1. <input checked="" type="checkbox"/> Fee Transmittal Form (e.g., PTO/SB/17) <small>(Submit an original, and a duplicate for fee processing)</small>	7. <input type="checkbox"/> CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
2. <input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27.	8. Nucleotide and/or Amino Acid Sequence Submission <small>(if applicable, all necessary)</small>
3. <input checked="" type="checkbox"/> Specification <small>[Total Pages 19]</small> <small>(preferred arrangement set forth below)</small> <ul style="list-style-type: none"><li>- Descriptive title of the invention</li><li>- Cross Reference to Related Applications</li><li>- Statement Regarding Fed sponsored R &amp; D</li><li>- Reference to sequence listing, a table, or a computer program listing appendix</li><li>- Background of the Invention</li><li>- Brief Summary of the Invention</li><li>- Brief Description of the Drawings <small>(if filed)</small></li><li>- Detailed Description</li><li>- Claim(s)</li><li>- Abstract of the Disclosure</li></ul>	a. <input type="checkbox"/> Computer Readable Form (CRF) b. Specification Sequence Listing on: <ul style="list-style-type: none"><li>i. <input type="checkbox"/> CD-ROM or CD-R (2 copies); or</li><li>ii. <input type="checkbox"/> paper</li></ul> c. <input type="checkbox"/> Statements verifying identity of above copies
4. <input checked="" type="checkbox"/> Drawing(s) (35 U.S.C. 113) <small>[Total Sheets 5]</small>	<b>ACCOMPANYING APPLICATION PARTS</b>
5. Oath or Declaration <small>[Total Pages 3]</small> <ul style="list-style-type: none"><li>a. <input checked="" type="checkbox"/> Newly executed (original or copy)</li><li>b. <input type="checkbox"/> Copy from a prior application (37 CFR 1.63(d)) <small>(for continuation/divisional with Box 18 completed)</small><ul style="list-style-type: none"><li>i. <input type="checkbox"/> <b>DELETION OF INVENTOR(S)</b> <small>Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).</small></li></ul></li></ul>	
6. <input type="checkbox"/> Application Data Sheet. See 37 CFR 1.76	
18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76: <input type="checkbox"/> Continuation <input type="checkbox"/> Divisional <input type="checkbox"/> Continuation-in-part (CIP) of prior application No.: _____ / _____ <small>Prior application information: Examiner _____ Group / Art Unit _____</small>	

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

<b>19. CORRESPONDENCE ADDRESS</b>				
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Name (Print/Type)	Karin L. Williams	Registration No. (Attorney/Agent)	36,721
Signature	<i>Karin L. Williams</i>	Date	11/20/01

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box

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**FEE TRANSMITTAL  
for FY 2002**

Patent fees are subject to annual revision.

**TOTAL AMOUNT OF PAYMENT****\$798.00****Complete if Known**

Application Number	Unassigned
Filing Date	Filed Herewith
First Named Inventor	Fwu-Iuan Hsieh et al.
Examiner Name	Unassigned
Group Art Unit	Unassigned
Attorney Docket No.	GS 150

**METHOD OF PAYMENT**

- 1.
- ☒
- The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit  
Account  
Number

50-1047

Deposit  
Account  
Name

Mayer Fortkort &amp; Williams, PC

- ☒
- Charge Any Additional Fee Required
- 
- Under 37 CFR §§ 1.16 and 1.17

- ☐
- Applicant claims small entity status.
- 
- See 37 CFR § 1.27

- 2.
- ☐
- Payment Enclosed:

- ☐
- Check
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- Credit card
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- Money
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- Order
- ☐
- Other

**FEE CALCULATION****1. BASIC FILING FEE**

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
101 740 201 370		Utility filing fee	740.00
106 330 206 165		Design filing fee	
107 510 207 255		Plant filing fee	
108 740 208 370		Reissue filing fee	
114 160 214 80		Provisional filing fee	
<b>SUBTOTAL (1)</b>			<b>\$740.00</b>

**2. EXTRA CLAIM FEES**

Total Claims	Extra Claims	Fee from below	Fee Paid
21	-20** = 1	18.00	18.00
3	-3** = 0	84.00	0.00
Multiple Dependent			

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
103 18 203 9		Claims in excess of 20	
102 84 202 42		Independent claims in excess of 3	
104 280 204 140		Multiple dependent claim, if not paid	
109 84 209 42		** Reissue independent claims over original patent	
110 18 210 9		** Reissue claims in excess of 20 and over original patent	
<b>SUBTOTAL (2)</b>			<b>\$18.00</b>

\*\*or number previously paid, if greater; For Reissues, see above

**FEE CALCULATION (continued)****3. ADDITIONAL FEES**

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
105 130 205 65		Surcharge - late filing fee or oath	
127 50 227 25		Surcharge - late provisional filing fee or cover sheet	
139 130 139 130		Non - English specification	
147 2,520 147 2,520		For filing a request for <i>ex parte</i> reexamination	
112 920* 112 920*		Requesting publication of SIR prior to Examiner action	
113 1,840* 113 1,840*		Requesting publication of SIR after Examiner action	
115 110 215 55		Extension for reply within first month	
116 400 216 200		Extension for reply within second month	
117 920 217 460		Extension for reply within third month	
118 1,440 218 720		Extension for reply within fourth month	
128 1,960 228 980		Extension for reply within fifth month	
119 320 219 160		Notice of Appeal	
120 320 220 160		Filing a brief in support of an appeal	
121 280 221 140		Request for oral hearing	
138 1,510 138 1,510		Petition to institute a public use proceeding	
140 110 240 55		Petition to revive - unavoidable	
141 1,280 241 640		Petition to revive - unintentional	
142 1,280 242 640		Utility issue fee (or reissue)	
143 480 243 230		Design issue fee	
144 820 244 310		Plant issue fee	
122 130 122 130		Petitions to the Commissioner	
123 50 123 50		Processing fee under 37 CFR § 1.17(q)	
126 180 126 180		Submission of Information Disclosure Statement	
581 40 581 40		Recording each patent assignment per property (times number of properties)	40.00
146 740 246 370		Filing a submission after final rejection (37 CFR § 1.129(a))	
149 740 249 370		For each additional invention to be examined (37 CFR § 1.129(b))	
179 740 279 370		Request for Continued Examination (RCE)	
169 900 169 900		Request for expedited examination of a design application	
Other fee (specify)			

\*Reduced by Basic Filing Fee Paid

**SUBTOTAL (3)****\$40.00****SUBMITTED BY**

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(Attorney/Agent)

36,721

**Complete (if applicable)**

Telephone

908-518-7700

Signature

Karin L. Williams

Date

11/20/01

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<b>CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)</b> Applicant(s): Fwu-Iuan Hsieh et al.			Docket No. GS 150
Serial No. Unassigned	Filing Date Filed Herewith	Examiner Unassigned	Group Art Unit Unassigned
Invention: TRENCH MOSFET DEVICE WITH POLYCRYSTALLINE SILICON SOURCE CONTACT STRUCTURE			
<p>I hereby certify that this <u>New U.S. Patent Application</u> _____          (Identify type of correspondence)</p> <p>is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under          37 CFR 1.10 in an envelope addressed to: The Assistant Commissioner for Patents, Washington, D.C. 20231 on  <u>11/20/01</u>          (Date)</p> <div style="text-align: right; margin-top: 20px;"> <u>Marjorie Scariati</u>          (Typed or Printed Name of Person Mailing Correspondence)       </div> <div style="text-align: right; margin-top: 10px;"> <u>Marjorie Scariati</u>          (Signature of Person Mailing Correspondence)       </div> <div style="text-align: right; margin-top: 10px;"> <u>ET477939705US</u>          ("Express Mail" Mailing Label Number)       </div>			
Note: Each paper must have its own certificate of mailing.			

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November 20, 2001

Assistant Commissioner for Patents  
Box Filing Date  
Washington, DC 20231

Dear Sir:

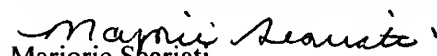
Re: New U.S. Patent Application  
Inventor: Fwu-Iuan Hshieh et al.  
Filed: Herewith  
Title: TRENCH MOSFET DEVICE WITH POLYCRYSTALLINE  
SILICON SOURCE CONTACT STRUCTURE  
Docket: GS 150

I hereby declare that I attempted to deposit the above-referenced new U.S. Patent Application with the United States Postal Service (USPS, Westfield, New Jersey) as Express Mail under 37 CFR 1.10 on November 20, 2001, and the USPS refused to accept this correspondence due to the recent emergency.

Per the instructions provided by the US PTO website ([www.uspto.gov/september11/uspsmaildisrup.htm](http://www.uspto.gov/september11/uspsmaildisrup.htm)), the above-referenced application has been re-deposited with the USPS on November 20, 2001 as first class mail, in an envelope addressed to: Assistant Commissioner for Patents, BOX FILING DATE, Washington, DC 20231.

A November 20, 2001 filing date is respectfully requested.

Yours truly,  
MAYER FORTKORT & WILLIAMS, PC

  
Marjorie Scariati  
Patent Paralegal

Enclosures